King County
Department of Judicial Administration

Core Electronic Court Records (Core ECR)

APPENDIX 6:
Request for Qualifications

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This document provides the text of the Department of Judicial Administration's (DJA) Request for Qualifications (RFQ) which, used in the first quarter of 1998, resulted in the selection of 7 of 14 firms applying as qualified for the "Core Electronic Court Records (ECR) Project" procurement. Those firms were provided with a 2-day Orientation period (at DJA's office in Seattle) in early May. The Request for Proposal (RFP) was issued to 6 firms (one had withdrawn) on June 3, 1998. Proposals are due on June 26, 1998.

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Objectives of this Request for Qualifications

The King County Department of Judicial Administration (DJA) is implementing an Electronic Court Records (ECR) program during the next few years. ECR systems will allow the Department of Judicial Administration to replace traditional paper-based case files with an electronic equivalent for the court case record.

The first major component of ECR was the scanning project, implemented in 1997. Archiving case files such as those that in prior years were committed to microfilm are instead being prepared and scanned in-house under a temporary arrangement with an imaging vendor. This project is giving DJA valuable experience in imaging, including document preparation, scanning procedures and equipment, image capture and index (to case number level), transfer of data across the King County Wide Area Network, storage of images (in an IBM RS-6000 computer on magnetic media), and image retrieval from multiple geographic sites.

The 1998 component of ECR is implementation of what we have termed the "core ECR" system. This Request for Qualifications (RFQ) is the first stage of the procurement of core ECR. The objective of this RFQ is to identify companies or consortia qualified to provide the hardware, software, and services to implement core ECR, and to do so in a relatively short time frame. Those companies demonstrating

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their ability to support the objectives of the core ECR project implementation, and potentially the entire ECR program, will be invited to respond to a subsequent Request for Proposal (RFP).

Overview of the Electronic Court Records Program

The ECR program will replace physical court case files with electronic case file records. The fully developed ECR system will include the following:

- Both "digitized" documents (i.e., scanned images) and "digital" documents (i.e., electronic documents in selected formats such as ASCII, word processed, PDF, or HTML)

- Automated routing and management of document based work flows within DJA operations

- Archival to microfilm of completed case files through automated Computer Output to Microfilm (COM)

- Electronic filing of court documents from within the Courthouse, Regional Justice Center, other Court/DJA sites, and remotely

- Automated docketing (data capture and transfer to mainframe data entry fields) from electronic documents

- Access to court records from sites outside DJA's offices

- Interface with other state and local agencies and systems

The *conceptual basis* of the ECR program is described in the "Design Statement" included as Attachment 1.

The core ECR system will provide the foundation for the rest of ECR. Core ECR is focused on handling scanned images of court documents within DJA's internal operations, to be extended to include other documents as electronic objects.

Core ECR Overview

Core ECR will address the internal electronic document management requirements of DJA. This includes the following:

- Electronic document management suited for both scanned images of hard copy documents (the main document form expected in core ECR in 1998) and non-image electronic objects (documents), including indexing to the case and document level

- Workflow management for document based work flows within DJA operations, including supervisory functions to permit direction and redirection of work

- Computer-output-to-microfilm (COM) as the mechanism for archiving completed case records for indefinite retention as required by law

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- Support for decentralized document processing at DJA sites throughout the County (including the ability to receive a document at any site and to route it during processing to other DJA locations)

- Support retrieval by any authorized user through the King County wide area network (KC WAN)

- Links with state mandated systems affecting Superior Court and DJA, particularly the State's Judicial Information Systems (JIS), which includes SCOMIS (Superior Court Online Management Information System)

- A demonstration project in which selected criminal cases will be available for users in both paper and electronic formats and which could involve electronic processing

Extended ECR System (1999 and beyond)

The extended ECR system will have several additional components:

- Court support connecting the core ECR system with Superior Court and with Superior Court Administration systems and business processes

- ECR connectivity for other law, safety, and justice agencies

- An electronic filing component, including support for non-image digital documents

- Support for digital signatures as provided for under Washington State law (see RCW 19.34 and WAC 434-200)

- A component to provide remote document access and distribution (perhaps through Internet)

Scope of the Procurement

The current procurement is not for the entire ECR program, but is limited to:

- Acquisition of hardware, software, services, and support required to implement core ECR and consistent with the future implementation of extended ECR

- Acquisition of technical assistance in the development of a detailed technical architecture for the extended ECR system

- Implementation of core ECR

Description of Core ECR

Core ECR is a set of interrelated systems which enable the Department of Judicial Administration (DJA) to process case related documents electronically. This will substitute for current hard copy processing, overcome the limitations of the single paper case record, and bring about substantial efficiencies. Core ECR is the foundation of all future ECR related systems, including expansions and enhancements planned for subsequent years. Success in implementing core ECR should lay a strong foundation

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for an ongoing partnership between DJA and the contractor to maintain the core program and develop upon it envisioned enhancements and expansions.

Core ECR System Specifications

The technical descriptions for components of the ECR system are being drafted by Cary Information Consulting (CIC). These descriptions will be included in the specifications developed by DJA for issuance to qualified bidders. Core ECR specifications will address the topics described here.

Components of Core ECR

- **Document scanning/imaging system** for two purposes: (1) scanning archival cases (including converting cases scanned prior to ECR Core implementation) and (2) scanning active cases for processing through workflow ending in placing the completed, processed document into the permanent case file. Scanning must include indexing documents for ready retrieval to ensure their accurate and complete retrieval on demand. Scanning operation must be highly robust and reliable due to the very large volume and mixed nature of the documents.

- **Workflow** systems which, conforming to accepted standards (including AIIM Workflow Interoperability Standards), provide for document processing within DJA (replacing current paper routing), allow for annotation of the images during processing, and are capable of handling both image and non-image (e.g., word processed, PDF, HTML) electronic documents in the same processes.

- **Document display** on computer monitors in combination with windows or screens from other applications (especially SCOMIS, the Superior Court Online Management Information System). Must be capable of displaying multiple objects, including images, and non-imaged documents such as word processed, ASCII, PDF, HTML, or other supported digital document formats.

- **Electronic transfer of data** from documents (including electronic digital or bar-coded indexing sheets which could be used for imaged documents) to data entry fields, by automation wherever possible (e.g., through use of mark-up language such as HTML or SGML or other methods of pointing to or copying data elements).

- **Integration with the SCOMIS system** is necessary to ensure that the SCOMIS and document storage and retrieval systems are fully coordinated as to document identifiers and other features. Documents must be retrievable from the core ECR storage system even if SCOMIS is down or unavailable at the time an electronic record is requested. Integration with other data systems within the County and the criminal justice system must also be supported, that is, not precluded by proprietary restrictions or limitations.

- **Image storage and retrieval systems** must include images *and,* ultimately, defined, supported word-processing formats in the same electronic "file folders." Response time for retrieval of documents to requesting workstations within County WAN linked systems is to be less than 5 seconds (under 2 seconds highly desired; specific response time to be negotiated as part of final contract). System must use

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existing RS-6000 magnetic storage or alternative with conversion of existing electronic records. The expectation is that *at least 3 years'* worth of case file records will be on line at any given time. An all-magnetic storage solution is highly desired. A high priority will be placed on fault tolerance in all online storage systems.

- **Computer output to microfilm** (COM) to provide the mechanism for creating archival (silver halide and diazo microfilm reels) of case files for indefinite retention. While digital and electronic formats may come to be acceptable for this purpose, at this era only microfilm meets the criteria for records to be available 100 and more years from now. It should be assumed that there is a desire to make case files accessible electronically on an ongoing basis, from the basic document storage system or from on-line tape, near-line tape, or off-line media, even though the Clerk will also provide for this permanent record through COM.

- **Security and access restriction** will be provided for all court records, particularly for sealed case types and sealed records. While most case records are public records by law, many are sealed by statute or judicial order. The latter must be strictly controlled to be absolutely inaccessible to unauthorized persons. Core ECR must have completely reliable systems for security and access control to meet this critical need. Encryption, passwords, and other security tools should be used.

- **Architecture to accommodate extensions of ECR** beyond DJA. The capability to file electronically remotely, through secure telecommunications systems, whether Internet based or otherwise, and to access electronic cases from the DJA electronic files are the key features of extended ECR, beyond the scope of the core ECR project under the current procurement. The core ECR vendor will be responsible for demonstrating how the overall architecture accommodates these and other future extensions by delivering a plan and specifications enabling those extensions.

- **System Capacity** must be adequate to meet the needs of DJA. Capacity measures as demonstrated by previous bidder performance must show the ability to accommodate high volume scanning, distributed scanning (several scanning locations feeding incoming documents into centralized workflow), and on-demand scanning. Indexing must be robust and reliable enough to accommodate the size and complexity of the DJA system and to accomplish indexing, transfer, and other processes in a timely fashion. For example, process measures must demonstrate that scanned images can be transferred to storage media at the rates and within time limits dictated by DJA's volume.

- **DJA Volumes:** DJA processes about 75,000 new court cases per year (criminal, civil, domestic, probate, parentage/guardianship, mental illness, juvenile dependency, juvenile offender). DJA receives and processes about 6,000 documents per day. DJA estimates its document load involves approximately 7 million pages per year. Under the present system, more than 2,000 case files are checked out daily for use in the courtroom, by court staff, by DJA staff, or by the public in public access areas. In current document processing, within the 5-day period from receipt until final placement into the court case file (after which documents are not subject to further modification or notation), DJA performs over

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8,000 docketing/calendaring transactions in an average day, involving data entry from or based on processed court case documents, into SCOMIS and related systems. Processed documents also trigger a wide variety of actions by DJA staff including calendaring entries, financial transactions, document creation and issuance, and more.

- **Multi-site support** must be a feature of core ECR. The systems and services must be established to support daily functions at the Courthouse in Seattle, the Regional Justice Center in Kent, the Juvenile Court on First Hill, the Mental Illness Court on First Hill, the Eastside Satellite office in Bellevue, and any other sites now or in the future operated by DJA. The system may not be constrained and limited by capacity limitations regarding the number of sites and locations which can be supported.

- **Performance Requirements** governing reliability, fault tolerance, response time, and throughput of data must be defined and maintained in core ECR. Once operations have moved to electronic processing, there must be an ongoing operation every day to support court activities, often in the context of fixed deadlines and time frames.

- **Restart, recovery, backup and restoration**, including disaster recovery, must be provided for the document storage and retrieval system to ensure that judicial proceedings may go forward after minimal delays required to recover following a problem, system restart, or event beyond control.

Description of Extended ECR

It is not possible to provide "specifications" for the extended ECR system this early in the ECR system life cycle. Nevertheless, technology decisions made implementing the core ECR system will constrain the longer-term development of the full system. The core ECR vendor must architect the system to accommodate the requirements of extended ECR. A realistic understanding of the future development of the system will include descriptions at a business function level of the requirements for the complete ECR system, including:

- The Court support component

- Interfaces with law, safety, and justice system agencies and their systems

- The electronic filing "front end" component, including the detailed requirements for filing digital documents in supported formats

- The document access and distribution from beyond the boundaries of DJA, or "back end" component

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Description of Procurement Process

Approach

There are two stages in the procurement process for core ECR. The first, this Request for Qualifications, will be used to select bidders deemed qualified to participate in the second stage. Vendor selection and contract award, if any, will take place during the Request for Proposal stage.

DJA has decided to narrow consideration to a limited number of companies through RFQ for several reasons. The RFQ process minimizes costs by requiring a simple, brief response from companies who participate. The RFQ process will allow DJA to identify and focus its efforts only on companies clearly qualified to meet the very demanding requirements of ECR. This approach reduces costs and, it is hoped, saves time for the County and RFQ-qualified companies.

The main steps in the procurement process will be as follows:

1. Issue Request for Qualifications (RFQ) requiring *brief* responses by proponents. Based on the RFQ responses, DJA will identify vendors it deems qualified to participate in the second stage.

2. In the second stage, DJA will request proponents qualified in the RFQ stage to submit proposals, after orientation sessions. The process will include the following steps:

    2.1.1. The evaluation team will conduct a structured orientation with each short-listed vendor.

    2.1.2. When the orientations are complete, DJA will issue the Request for Proposal to the qualified companies.

    2.1.3. A pre-proposal conference will be conducted.

3. Proponents will submit and the evaluation team will assess proposals from qualified vendors.

4. Proposal evaluation will include reference checks, oral interviews, technology demonstrations, and other activities deemed necessary to confirm information contained in proposals.

The evaluation team will present its recommendations to senior management of DJA. Presuming that the team recommends awarding the bid and proceeding with procurement and provided that senior management accepts the recommendation, negotiations and contracting will follow immediately.

Please note that the procurement process may be terminated at any point if vendor responses are deemed inadequate or if the Department of Judicial Administration decides not to proceed with the ECR program or the procurement.

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Note that the Department of Judicial Administration is currently conducting the Request for Qualifications stage of this process. No contracts will be awarded as a result of submissions made in response to this RFQ.

Schedule

Date	Event
February 12	Advertise RFQ
February 19	Pre-proposal conference, 10:00 a.m.
March 3	RFQ closes / Responses received
March 9*	Qualified proponents selected; all RFQ responders notified
March 10*	Orientation workshop schedule finalized
March 16* – April 10*	Conduct orientation workshops
April 13*	Issue RFP
April 17*	Conduct pre-proposal conference
May 8*	RFP closes / proposals received

Dates in italics are subject to change.

Evaluation Criteria

Criterion	Weight
Long term financial and market stability	20 pts
Demonstrated ability to install and support workflow and document managing commensurate with the storage and transaction volumes of DJA	25 pts
Bidder products have key features required by core ECR	25 pts
Bidder products and architecture will clearly support all features of the extended ECR system	10 pts
Demonstrated ability to provide and support all components for the core ECR system at a reasonable cost and in a timely fashion	20 pts
Total	100 pts

Format for Submissions

Bidders **MUST** format their submissions in manner set out in this section. This will help ensure that the evaluation of RFQ responses is fair and objective. Please note that the page limitations are **MANDATORY**.

RFQ submissions must have the following format:

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1. Company / Consortium Overview (1 page maximum).

   Briefly, describe the company and/or consortium responding to this RFQ. In the case of a consortium, clearly identify which company which will be the general contractor with overall responsibility for the integration and performance of the consortium.

2. Product overview (1 page maximum).

   Briefly, describe the hardware and software technology which will be proposed for core ECR. This must show demonstrated knowledge of the range of hardware and software options available for a project of this sort and scope.

3. Implementation services overview (1 page maximum).

   Describe implementation services and explain how the company and/or consortium will support DJA in achieving timely implementation of core ECR.

4. Qualifications (1 page maximum per criterion).

   4.1. Long term market and financial stability.

   Since the core ECR system is meant to be the foundation upon which the extended ECR system is built, the long-term market viability of the technology is a concern. Similarly, the long-term financial viability of the vendor(s) is also a concern. Provide information demonstrating that these risks are appropriate for a public sector agency.

   4.2. Transaction and storage capacity.

   DJA has very substantial document filing and storage requirements, which the core ECR system must be capable of managing. Demonstrate that the proposed technology has the ability to manage the volumes DJA must handle, as indicated above.

   4.3. Core system features of bidder's product(s).

   Describe how the proposed technology meets DJA's internal document processing requirements.

   4.4. Technology architecture supports extended ECR system.

   Describe how the proposed technology architecture supports the more advanced features of the ECR system in the future. Provide examples, if possible, of customers who have implemented systems with capabilities such as those described in the Design Statement.

   4.5. Provide complete core ECR at reasonable cost and in timely fashion

   Proponents should show evidence of their ability to deliver a complete solution for the core ECR system, including all hardware, software, and services required at reasonable cost and in timely fashion.

5. Five references from customers with similar transaction and storage volumes.

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For 5 customers who currently operate systems with similar transaction and storage volumes, please provide the following information:

- Name of the customer.

- Customer contact, including name, title, and telephone number.

- A paragraph describing the nature of the application.

Attachment

- Electronic Court Records Design Statement (11/17/97)